



## SPB Compliance Review Team

We understand that a compliance review requires a commitment of personnel resources for departments. We will minimize disruptions to your daily operations to the extent possible.

Please note our main focus is to uphold the merit principles as governed by law, to make the State's hiring process fair, and to ensure all departments are following the same procedures.

***We are here to help!***



State Personnel Board

801 Capitol Mall  
Sacramento, CA 95814



## COMPLIANCE REVIEW INFORMATIONAL BROCHURE

### *FOUR MAJOR AREAS OF REVIEW*

- EXAMINATIONS
- APPOINTMENTS
- EQUAL EMPLOYMENT OPPORTUNITY PROGRAM
- PERSONAL SERVICES CONTRACTS

State Personnel Board

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[www.spb.ca.gov](http://www.spb.ca.gov)

## FOUR MAJOR AREAS

The State Personnel Board's Compliance Review Team has identified four major areas for review. You will find additional information on each area of review and on the review process below.

### EXAMINATIONS

- Examination planning documents (Exam File)
- Job analysis or job-related examination questions
- Examination bulletin and/or advertisement
- Scoring models used for examinations
- Examination component(s) (proctor's notes, rating sheets, etc.)
- Notifications (Correspondence)
- CEA Examinations

### APPOINTMENTS

- Certification Lists
- Contact Letters (Sent/Received)
- Documentation of lists cleared
- Documentation on eligibles hired (i.e., Appointment files)
- Notifications (Correspondence)
- CEA Appointments

### EQUAL EMPLOYMENT OPPORTUNITY PROGRAM

- EEO Policy
- Disability Advisory Committee
- Discrimination Complaint Process
- EEO Program and Officer
- Limited Examination and Appointment Program
- Reasonable Accommodation
- Recruitment and Selection
- Upward Mobility Program
- EEO Office Organizational Structure

### PERSONAL SERVICES CONTRACTS

- Review of personal services contracts and delegation
- Proper procedures utilized



### COMPLIANCE REVIEW PROCESS

You will be notified in advance when your department has been identified for a review. An entrance conference will be scheduled by the SPB compliance review team with your designated personnel officer. The objective of this conference is to further explain the review process, request additional documentation, if necessary, and answer any of your questions.

Upon conclusion of the review the SPB compliance review team will schedule an exit conference with your designated personnel officer. The purpose of the exit conference is to discuss the findings discovered during the review and also provide recommendations on how to correct any issues.

The final report will be submitted to the Board Members for their review and approval. Once the final report has been approved, it will be posted on our website.

The department will report to the Board at 6 months and 12 months post review.

If you have any questions, please contact us at (916) 651-0924.